



**U.S. ENVIRONMENTAL PROTECTION AGENCY  
REGION 2  
290 Broadway  
New York, New York 10007-1866**

Dear Applicant:

Thank you for your interest in applying for a grant with the U.S. Environmental Protection Agency (EPA), Region 2. Enclosed is an application kit for submitting your proposal for federal financial assistance. To assist you in completing your application, we have included the document entitled, How to Complete your Application for Federal Assistance, pages 7-11 of the application kit. If you are applying for \$100,000 or less, you may be able to use the streamlined application procedure for small grants. Please refer to page 45-46 for eligibility criteria and instructions. I have also enclosed for your use, a check list of items that must be submitted with your application in order for you to be considered for a grant with the Agency. Before you mail your application, please be sure it is complete. Our mailing/Internet address is included in the application kit for your convenience.

Applications must be submitted at least sixty (60) days prior to the requested date for award (90 days for Superfund applications). If you are submitting a continuation application for funding a Continuing Environmental Program (40 CFR Part 35, Subpart A), your application must be submitted prior to the end of the current budget period in order for costs incurred from the end of the budget period to the date of the new award to be allowable for federal participation. **Concurrent with submitting your application to EPA, the Intergovernmental review process should be initiated.** The Intergovernmental Review package must be submitted sixty (60) days prior to the requested date for award (thirty (30) days for continuing environmental programs). Instructions for this process are found on pages 28 through 41.

If you are submitting more than one application for this award cycle, you need submit only one of each of the following required certification forms found in this kit if they are applicable: Assurances - Non-Construction Programs (Standard Form 424B); Quality Assurance Requirement Form; Certification Regarding Lobbying/Disclosure of Lobbying Activities (Standard Form LLL); Additional Certification Regarding Lobbying - Section 501(c)(4) IRS Code; and, Preaward Compliance Review Report For All Applicants Requesting Federal Financial Assistance (EPA Form 4700-4).

If you have any questions about completing your application or have general inquiries about EPA's assistance programs, please feel free to contact me at my e-mail address, [baamonde.roch@epa.gov](mailto:baamonde.roch@epa.gov) or my staff at (212) 637-3402.

Sincerely,

Roch Baamonde, Chief

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# **APPLICABLE EPA REGULATIONS AND OMB CIRCULARS**

(AVAILABLE THROUGH THE INTERNET,  
<http://www.whitehouse.gov/omb/grants/#circular> for OMB Circulars ,  
<http://www.access.gpo.gov/nara/cfr/index.html> for CFR information  
and <http://www.cFDA.gov> for CFDA information)

## **A. STATE, LOCAL & INDIAN TRIBAL GOVERNMENTS**

<b>40 CFR PART 7</b>	<b>NONDISCRIMINATION IN PROGRAMS RECEIVING FEDERAL ASSISTANCE FROM THE ENVIRONMENTAL PROTECTION AGENCY - PREAWARD COMPLIANCE REVIEW</b>
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<b>40 CFR PART 31</b>	<b>UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS</b>
<b>40 CFR PART 32</b>	<b>GOVERNMENT-WIDE DEBARMENT AND SUSPENSION AND GOVERNMENT-WIDE REQUIREMENTS FOR DRUG-FREE WORKPLACE</b>
<b>40 CFR PART 34</b>	<b>NEW RESTRICTIONS ON LOBBYING</b>

**40 CFR PART 35**

**STATE AND LOCAL ASSISTANCE**

**OMB CIRCULAR A-87**

**COST PRINCIPLES**

**OMB CIRCULAR A-133**

**AUDIT REQUIREMENTS**

# **APPLICABLE EPA REGULATIONS AND OMB CIRCULARS**

(continued)

## **B. FOR ALL OTHER TYPES OF APPLICANTS**

<b>40 CFR PART 7</b>	<b>NONDISCRIMINATION IN PROGRAMS RECEIVING FEDERAL ASSISTANCE FROM THE ENVIRONMENTAL PROTECTION AGENCY - PREAWARD COMPLIANCE REVIEW</b>
<b>40 CFR PART 29</b>	<b>SEE DESCRIPTION CONTAINED IN PART A</b>
<b>40 CFR PART 30</b>	<b>GENERAL REGULATIONS FOR ASSISTANCE PROGRAMS</b>
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<b>OMB CIRCULAR A-122</b>	<b>COST PRINCIPLES FOR NON-PROFIT ORGANIZATIONS</b>
<b>OMB CIRCULAR A-133</b>	<b>SEE DESCRIPTION CONTAINED IN PART A</b>

# **Description of EPA Regulations**

## **40 CFR PART 7 - NONDISCRIMINATION IN PROGRAMS RECEIVING FEDERAL ASSISTANCE FROM THE ENVIRONMENTAL PROTECTION AGENCY - PREAWARD COMPLIANCE REVIEW**

This part applies to all applicants for, and recipients of, EPA assistance in the operation of programs or activities receiving such assistance and implements Title VI of the Civil Rights Act of 1964 as amended.

## **40 CFR PART 29 - INTERGOVERNMENTAL REVIEW**

The regulations contained in this part implement Executive Order 12372, "Intergovernmental Review of Federal Programs" and applicable provisions of Section 204 of the Demonstration Cities and Metropolitan Development Act. These regulations are intended to foster an intergovernmental partnership and a strengthened federalism by relying on State processes and on State, areawide, regional and local coordination for review of Federal financial assistance.

## **40 CFR PART 30 - GRANTS AND AGREEMENTS WITH INSTITUTIONS OF HIGHER EDUCATION, HOSPITALS, AND OTHER NON-PROFIT ORGANIZATIONS**

This regulation applies to all EPA applicants except State, Local and Indian Tribal governments and contains the general requirements for management of the assistance award.

## **40 CFR PART 31 - UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE, LOCAL AND INDIAN TRIBAL GOVERNMENTS**

This regulation applies to State, Local and Indian Tribal governments and contains the general requirements for management of the assistance award.

## **40 CFR PART 32 - DEBARMENT AND SUSPENSION REQUIREMENTS**

This regulation implements Executive Order 12549, and provides that a person who is debarred or suspended shall be excluded from receiving Federal financial and non-financial assistance and benefits under Federal programs and activities. All applicants are required to submit a certification regarding Debarment and Suspension. In addition, if you receive Federal assistance you are required to obtain this Certification from subrecipients receiving \$25,000 or more in assistance funds.

# **Description of EPA Regulations** Cont.

By signing and/or submitting this application or the grant agreement, the grantee is providing the certification set forth in Appendix C to Subpart F, 40 CFR 32.600, ***Drug-Free Workplace Requirements (Grants)***. In general, a grantee, other than an individual, certifies that it will provide a drug-free workplace by implementing the steps set out under Alternate I of Appendix C to Subpart F, 40 CFR 32.600. An individual receiving a grant from EPA, certifies that he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting an activity with the grant (refer to Alternate II of Appendix C to Subpart F, 40 CFR 32.600).

## **40 CFR PART 34 - RESTRICTIONS ON LOBBYING**

No Federal funds may be expended by the Recipient of Federal financial assistance to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions:

- a) the awarding of any Federal grant,
- b) the making of any Federal loan,
- c) the entering into of any cooperative agreement, and
- d) the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

This regulation contains the requirements for filing the Certification of Compliance with the Anti-Lobbying Act of 1990; and the Disclosure of Lobbying Activities forms.

Additionally, an organization described in §501(c)(4) of the Internal Revenue Code of 1986 which engages in lobbying activities shall not be eligible for the receipt of Federal funds constituting an award, grant, contract, or loan.

## **40 CFR PART 35 - STATE AND LOCAL ASSISTANCE**

The regulations contained in this part establish uniform administrative requirements and procedures for financial assistance to State, Interstate and Local agencies for continuing environmental programs; and, provides additional information on individual program requirements by cross-referencing substantive program regulations.

# **Description of EPA Regulations** Cont.

## **OMB CIRCULAR A-21 - COST PRINCIPLES FOR EDUCATIONAL INSTITUTIONS**

This circular establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions. The principles deal with the subject of cost determination, and make no attempt to identify the circumstances or dictate the extent of agency and institutional participation in the financing of a particular project. The principles are designed to provide that the Federal Government bear its fair share of total costs, determined in accordance with generally accepted accounting principles, except where restricted or prohibited by law.

## **OMB CIRCULAR A-87 - COST PRINCIPLES**

This circular establishes principles and standards for determining costs for Federal awards carried out through grants, cost reimbursement contracts, and other agreements with State and local governments and federally-recognized Indian tribal governments (governmental units). The principles are for determining allowable costs only. They are not intended to identify the circumstances or to dictate the extent of Federal and governmental unit participation in the financing of a particular Federal award.

## **OMB CIRCULAR A-122 - COST PRINCIPLES FOR NON-PROFIT ORGANIZATIONS**

This circular establishes principles for determining costs of grants, contracts, and other agreements with non-profit organizations. The principles are designed to provide that the Federal Government bear its fair share of costs except where restricted or prohibited by law. The principles do not attempt to prescribe the extent of cost sharing or matching on grants, contracts, or other agreements. Provision for profit or other increment above cost is outside the scope of this Circular.

## **OMB CIRCULAR A-133 - AUDIT REQUIREMENTS OF STATES, LOCAL GOVERNMENTS AND NON-PROFIT ORGANIZATIONS**

This circular establishes uniform audit requirements for non-Federal entities that administer Federal awards and implements the Single Audit Act Amendments of 1996. One of the significant revisions is that the threshold for when an entity is required to have an audit is raised from \$25,000 to \$300,000.





# HOW TO COMPLETE YOUR APPLICATION FOR FEDERAL ASSISTANCE

(Standard Form 424)

Based on the inquiries we frequently receive, we have developed the following information to augment the instructions in the "Application for Federal assistance" (Standard Form 424). Reading this information in conjunction with the instructions on the application form will speed up the preparation of your application and will reduce our processing time on your application. The grant award will contain **Terms and Conditions** that you should read very carefully. In addition, you should familiarize yourself with the applicable EPA regulations. If your application amount is \$100,000 or less, please refer to the Small Grants Policy (pg. 45) for streamlined procedures.

Following are items requiring special attention in the preparation of your application:

- (1) the "Application for Federal Assistance" (Standard Form 424) face page with accompanying instructions;
- (2) the Narrative Description of the Program/Project;
- (3) the "Budget Information - Non-Construction Programs" (Standard Form 424A with accompanying instructions); and
- (4) the "Assurances - Non-Construction Programs" (Standard Form 424B). The authorized certifying official **must** sign and date the reverse side of the "Assurances - Non-Construction Programs".

## **PART I, Application for Federal Assistance (SF-424)**

**Item 5:** If the "name and telephone number of the person to be contacted for matters involving this application" are different from the Project Manager's, i.e., the person who will be our contact for technical matters if the application is funded, please provide the name, title, address and telephone number of the Project Manager on the key contact list.

In addition, for other than State, local government and Indian Tribe grants, please submit a biographical sketch of the Project Manager incorporating information on education, background, and other qualifying experience for the project. Also list the name and training or discipline of other key personnel engaged in the project. Identify other projects in which the Project Manager is engaged and the amount of time he or she devotes to each. Provide a summary of employment, including contracts

and consultancies for the present and for the past two years for the Project Manager and each of the key personnel.

Item 9: Please insert the name, if applicable, of the EPA person(s) from whom you have received preapplication assistance. This information assists us in routing your application to the appropriate EPA office for review.

Item 10: Insert the Catalog of Federal Domestic Assistance Number and Title. This catalog is available at local libraries and contains information regarding federal grant programs. EPA grants begin at 66.001 in this catalog (<http://www.epa.gov/ogd/grants.htm>).

Item 11: A brief description of the proposed project or program for which assistance is requested [A detailed description of the program/project is also required to be submitted with the Application for Federal Assistance and is discussed further in these instructions under DESCRIPTION OF THE PROGRAM/PROJECT.]

Item 13: The "Start Date" and "Ending Date" should reflect the amount of time that will be required to complete the entire scope of work in your application, i.e., the project/budget period. The start date should be at least sixty days succeeding the submittal date of the final application package to allow time for review and processing.

Item 14: List the specific congressional district(s) or Statewide if project effects the entire State.

Item 15: The amounts under "Estimated Funding" are the amounts required, or to be contributed, during the budget and project periods.

Item 16: State Executive Order 12372 process Intergovernmental review. This item must be completed in order to be considered for assistance with EPA. (See attachment for explanation of Executive Order 12372 on page 28 )

Item 18: The Name, Title and Telephone Number of the Authorized Representative, i.e., the person or entity who has authority to execute the Agreement on behalf of the applicant.

If EPA awards a grant or cooperative agreement pursuant to your application, we will mail the official copies of the award agreement to the authorized representative listed in Item 18.

## **PART II, Guidance For Workplan Narrative: Description of the Program/Project**

Your application must include a section that provides the following information:

1. OBJECTIVE: Describe the principal and subordinate objectives of the

program/project. This should include relevant physical, economic, social, financial, institutional, or other problems requiring solution. Supporting documents from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included and footnoted.

2. RESULTS OR THE BENEFITS EXPECTED: Identify results and/or benefits accruing from the program/project. [Important: include all primary and secondary benefits accruing to the Recipient, the population served, the public served, the public and the environment in general]; for example: compliance with water quality standards or ambient air quality standards, advancements in the state of the art of pollution abatement, etc.

3. APPROACH: A detailed work plan must be provided which includes:

a) How the program/project will be accomplished. Factors should be cited which might accelerate or decelerate the work activities. Describe why the approach has been taken rather than alternatives. Include a description of any unusual features of the project such as design or technological innovations, reductions in cost or time or extraordinary social and community involvement.

b) Describe all facilities presently available for use in carrying out the project.

c) List, by name, all non-Federal sources of funds and facilities to be utilized in the performance of the proposed program/project.

d) List, in chronological order, a schedule of accomplishments, progress, or milestones that are anticipated over the length of the program/project.

e) Indicate by whom each element of the work plan will be carried out including supporting agencies, consultants and contractors.

f) Describe sampling and data collection procedures, analytical methods, and methods for evaluating the results and successes of the project.

4. GENERAL PROGRAM/PROJECT INFORMATION:

a) Identify the kinds of data to be collected (and maintained) and discuss the criteria to be used to evaluate the results and successes of the project.

b) Discuss the following:

1) the effect of this program/project on, or its relationship to, other work planned, anticipated, or underway by the grantee, recipient of the funds, or other government agencies;

2) Federal, State, interstate and local programs with which the work will be coordinated and the extent and nature of the coordination.

5. **QUALITY ASSURANCE REQUIREMENT:** If your program/project involves environmentally related measurements or data generation, you are required to develop and implement quality assurance practices sufficient to produce data of known quality, adequate to meet program/project objectives and to minimize loss of data due to out-of-control conditions or malfunctions. Applicants must either submit a Quality Assurance Plan or have a current one on file with EPA Region II's Quality Assurance Manager.

Applicants who are State, Local or Indian Tribal governments, see EPA regulations 40 CFR 31.45. Other applicants, see EPA regulations 40 CFR 30.54. If you are unsure whether your program/project is subject to the Quality Assurance requirements, please contact EPA, **Region 2 Quality Assurance Manager at (732) 321-6645.** Please complete The Quality Assurance Requirement Form on page 26.

### **PART III, Budget Information (SF-424A)**

**BUDGET.** A complete budget must be submitted in order to be considered for federal assistance. The application includes a two-page sheet, "Budget Information-Non-Construction Programs" (Standard Form 424A), Sections A through F. Please be sure to complete Sections A, B and F.

**Section B:** If your application contains more than one program/project, a budget breakdown is required for each individual program/project. Budget information must include both the Federal funds requested plus any appropriate Recipient matching/cost share. Column 5, TOTAL, should be cumulative amounts (Federal and non-Federal) for the program/project.

A narrative section should be included with your Application which includes a breakdown of Section B, Budget Categories, as follows:

**Line A - Personnel.** Provide workyears and average salary of employees. Multiply workyears by average salary to determine estimated personnel costs.

**Line B - Fringe Benefits.** Identify percentage and apply percent to estimated personnel costs.

**Line C - Travel.** Should be provided as follows:

Routine: information on planned trips which are performed on a regular basis for the program (an average per person rate may be used if historical information exists); and

Special: itemized list of planned trips for special conferences, seminars, and meetings.

**Line D - Equipment.** Identify as follows:

Provide itemized information on all planned equipment purchases with a unit price of \$5,000 or more by the following categories:

Quantity	Item Description	Est. Unit Cost	Cost
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Provide information on total planned equipment purchases with a unit cost of less than \$5,000

**Line E - Supplies.** Identify estimated costs of general materials and supplies.

**Line F - Contractual.** Specify the nature and cost of each proposed contract.

**Line G - Construction.** If construction costs are anticipated, you must contact the Grants and Contracts Management Branch for additional instructions prior to completing your application.

**Line H - Other.** Specify all costs included under this category. If you are applying for a training project, your itemization of "Other" should include a breakdown of costs for trainee tuition and fees, book allowances, stipends and travel.

**Line I - Total Direct Costs.** The total direct costs charged to the program/project, sum of lines A through H.

**Line J - Indirect Costs.** Provide an explanation of how indirect charges were calculated for the program/project. [See below].

Section F: If your application contains INDIRECT COSTS, Section F MUST be completed. Please identify the type of indirect cost rate (provisional, predetermined, final or fixed) in the REMARKS column. Also identify the rate which will be in effect during the budget period, the base to which the rate is to be applied, and the Federal Agency with whom your rate is negotiated. [IMPORTANT: A copy of your Negotiated Indirect Cost Agreement (NICA) must be submitted with your Application for Federal Assistance if you are requesting indirect costs.] It is essential that each item of cost be treated consistently either as a direct or indirect cost. If your application contains indirect costs and you are not required to negotiate a rate, you must have an indirect cost plan on file for review at the request of the Agency.

#### **PART IV, Assurances (SF-424B)**

As an applicant for Federal Financial Assistance, you must assure that you will comply with applicable federal statutes, Executive Orders, regulations and policies governing the program/project. Your application cannot be considered for federal funding without this executed document.

# KEY CONTACTS

**AGENCY/ORGANIZATION DIRECTOR** - This is the individual who is authorized to sign the Application for Federal Assistance (SF-424).

NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

TELEPHONE #: \_\_\_\_\_

**PROGRAM/PROJECT DIRECTOR** - This is the individual who is responsible for the management of the Project for the Applicant.

NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

TELEPHONE #: \_\_\_\_\_

**FINANCE DIRECTOR** - This is the individual who has been assigned responsibility for the maintenance of the accounting and financial management system for the Applicant.

NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

TELEPHONE #: \_\_\_\_\_

**DISADVANTAGED BUSINESS UTILIZATION CONTACT:** This is the individual who is responsible for reporting on the procurement activity of the applicant. (For questions regarding this program and its reporting requirements, please contact Otto Salamon at (212) 637-3417.)

NAME: \_\_\_\_\_

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION</b>  Application  Construction Non-Construction		2. DATE SUBMITTED		Applicant Identifier
		3. DATE RECEIVED BY STATE		State Application Identifier
Preapplication  Construction Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier
<b>5. APPLICANT INFORMATION</b>				
Legal Name:		Organizational Unit:		
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)		
<b>6. EMPLOYER IDENTIFICATION (EIN):</b> --- - ----		<b>7. TYPE OF APPLICANT:</b> (enter appropriate letter here) _ A. State                      H. Independent School District B. County                      I. State Controlled Institution of Higher Learning C. Municipal                  J. Private University D. Township                  K. Indian Tribe E. Interstate                  L. Individual F. Intermunicipal              M. Profit Organization G. Special District            N. Other (Specify): _____		
<b>8. TYPE OF APPLICATION:</b> New    Continuation    Revision If Revision, enter appropriate letter(s) in box(es): A. Increase Award          B. Decrease Award C. Increase Duration        D. Decrease Duration Other Specify: _____				
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> _ _ . _ _ _  TITLE:		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>		
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>				
<b>13. PROPOSED PROJECT:</b>		<b>14. CONGRESSIONAL DISTRICT OF:</b>		
Start Date	End Date	a. Applicant:		b. Project
<b>15. Estimated Funding:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>  a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESSES FOR REVIEW ON:  DATE _____  b. NO. PROGRAM IS NOT COVERED BY E.O. 12372 OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
a. Federal	\$			
b. Applicant	\$	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>  Yes If "Yes" attach an explanation.                      No		
c. State	\$			
d. Local	\$			
e. Other	\$			
f. Program Income	\$			
g. TOTAL				
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF. ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>				



a. Typed Name of Authorized Representative.	b. Title:	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

## INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required face sheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- |   |  |
|---|--|
| <p>Item:</p> <p>1. Self-explanatory.</p> <p>2. Date application submitted to Federal agency (or State if applicable) &amp; applicant's control number (if applicable).</p> <p>3. State use only (if applicable).</p> <p>4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.</p> <p>5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.</p> <p>6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.</p> <p>7. Enter the appropriate letter in the space provided.</p> <p>8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:</p> <p>- "New" means a new assistance award.</p> <p>- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</p> <p>- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</p> <p>9. Name of Federal agency from which assistance is being requested with this application.</p> <p>10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.</p> <p>11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.</p> <p>12. List only the largest political entities affected (e.g., State counties,</p> | <p>cities).</p> <p>13. Self explanatory.</p> <p>14. List the applicant's Congressional District and any District(s) affected by the program or project.</p> <p>15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.</p> <p>16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.</p> <p>17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p> |
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# BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

## SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	
2.						
3.						
4.						
5. TOTALS						

## SECTION B - BUDGET CATEGORIES

6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)					
7. Program Income	\$	\$	\$	\$	

**AUTHORIZED FOR LOCAL REPRODUCTION**

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	
9.				
10.				
11.				
12. TOTAL (sum of lines 8 and 11)				

SECTION D - FORECASTED CASH NEEDS					
13. Federal	(Total for 1st Year)	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$				
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)					

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16 - 19)				

SECTION F - OTHER BUDGET INFORMATION	
(Attach additional sheets if Necessary)	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

## INSTRUCTIONS FOR THE SF-424A

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which required Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories show in Lines a - k of Section B.

### Section A. Budget Summary

#### Lines 1 - 4, Columns (a) and (b)

For applications pertaining to a *single* federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

#### Lines 1 - 4, Columns (c) through (g).

For *new* applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

#### Lines 1 - 4 Columns (c) through (g). (continued)

For *continuing grant program* applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these

columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes to existing grants*, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

### Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1 - 4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function, or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-I** - Show the totals of Lines 6 a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

SF 424A (4-88) page 3

## INSTRUCTIONS FOR THE SF-424A (continued)

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal-Resources

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agency should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

### Section D. Forecasted Cash Needs

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding

periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.



SF 424 (4-88) page 4

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of the project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 795), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provision of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a-7), the Copeland Act (40 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplain in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.)
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

## Certification Regarding Lobbying

### CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS

BY SIGNING AND/OR SUBMITTING THIS APPLICATION OR GRANT AGREEMENT, THE UNDERSIGNED CERTIFIES, TO THE BEST OF HIS OR HER KNOWLEDGE AND BELIEF, THAT:

(a) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, in connection with making of any Federal grant, the entering into of any cooperative, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any other funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting an officer or employee of any agency, Member of Congress, an or an employee of a Member of Congress in connection with this Federal Grant or cooperative agreement, the undersigned shall complete Standard Form - LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

THIS CERTIFICATION IS A MATERIAL REPRESENTATION OF FACT UPON WHICH RELIANCE WAS PLACED WHEN THIS TRANSACTION WAS MADE OR ENTERED INTO. SUBMISSION OF THIS CERTIFICATION IS A PREREQUISITE FOR MAKING OR ENTERING INTO THIS TRANSACTION IMPOSED BY §1352, TITLE 31 U.S. CODE. ANY PERSON WHO FAILS TO FILE THE REQUIRED CERTIFICATION SHALL BE SUBJECT TO A CIVIL PENALTY OF NOT LESS THAN \$10,000 AND NOT MORE THAN \$100,000 FOR EACH SUCH FAILURE.

\_\_\_\_\_  
Signature & Title of

\_\_\_\_\_  
Dated

Approved by 0348-00

(See reverse for public burden disclosure.)

30

14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), Employee(s), or Member(s) contacted, for Payment Indicated in Item 11:

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

15. Continuation Sheet(s) SF-LLL-A attached:      Yes      No

**16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.**

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Date: \_\_\_\_\_

Federal Use Only:

Authorized for Local Reproduction

Standard Form - LLL

ADDITIONAL CERTIFICATION REGARDING

NON-PROFIT IRS CODE DESIGNATION AND LOBBYING FOR THOSE APPLICANTS CLASSIFIED BY  
IRS AS 501(C)(4)

YOUR ORGANIZATION HAS BEEN CLASSIFIED BY THE IRS AS (PLEASE PROVIDE COPY  
LATEST IRS DETERMINATION OF ELIGIBILITY LETTER):

\_\_\_\_\_ 501(c)(3)

\_\_\_\_\_ 501(c)(4)\*++

**\*DEFINITION OF A 501(c)(4) ORGANIZATION:**

*Civic leagues or organization not organized for profit but operates exclusively for promotion of social welfare or local association of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational, or recreational purposes.*

**++ AN ORGANIZATION DESCRIBED IN §501(C)(4) OF THE INTERNAL REVENUE CODE C 1986 WHICH ENGAGES IN LOBBYING ACTIVITIES SHALL NOT BE ELIGIBLE FOR THE RECEIPT OF FEDERAL FUNDS CONSTITUTING AN AWARD, GRANT, CONTRACT, OR LOAN.**

BY SIGNING AND/OR SUBMITTING THIS APPLICATION OR GRANT AGREEMENT, THE  
UNDERSIGNED CERTIFIES THAT THEY DO NOT ENGAGE IN LOBBYING ACTIVITIES.

\_\_\_\_\_  
Signature & Title of  
Authorized Certifying Official

\_\_\_\_\_  
Dated

Applicant's Organization:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



--

United States Environmental Protection Agency

**CERTIFICATION REGARDING  
DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

The prospective participant certifies to the best of its knowledge and belief that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining attempting to obtain or performing a public (Federal, State, or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or Local) within commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or Local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

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Typed Name & Title of Authorized Representative

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Signature or Authorized Representative

Date

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I am unable to certify to the above statements. My explanation is attached.

QUALITY ASSURANCE REQUIREMENT FORM  
40 CFR 30.54 and 31.45

\_\_\_\_\_ This Program/Project does NOT involve environmentally related measurements or data generation, or

\_\_\_\_\_ This Program/Project DOES include environmentally related measurements or data generation. Environmentally related measurements or data generation deals solely with analytical data (pH, metals, BODs, pesticides, etc.) that are collected analyzed in the field or laboratory. A Quality Assurance Plan which meets the requirements of the above applicable federal regulation:

has been prepared for this project and IS ATTACHED.

was previously reviewed and formally approved by the U.S. EPA \_\_\_\_\_, and is still current and applicable. (Current is defined as less than three (3) years old).

is being prepared and will be forwarded to the U.S. EPA upon completion. Applicant understands this requirement is a condition for award of the grant/cooperative agreement.

\_\_\_\_\_ Date

\_\_\_\_\_ Signature of Authorized Representative

\_\_\_\_\_ Typed Name & Title of Authorized Representative

\_\_\_\_\_ Typed Name of Applicant Organization



Applicant Name: \_\_\_\_\_ Assistance Program/Project Title: \_\_\_\_\_

## PAYMENTS UNDER ASSISTANCE AGREEMENTS

If you are awarded a grant from the U.S. EPA you may specify the method you wish to use for requesting payments (check the appropriate box from the list below). However, EPA makes the final determination on the payment method and this decision will be reflected in the award document. Payments will be disbursed to you via one of two electronic payment mechanisms available to U.S. EPA recipients: Automated Standard Application for Payments (ASAP), or Electronic Funds Transfer (EFT). Under certain circumstances, payments may be disbursed by Treasury check (see below). There are three payment methods: Advance, Working Capital Advance, and Reimbursement. Brief descriptions of the payment methods and payment mechanisms are provided below.

### A. PAYMENT METHODS

#### Advance (**Not available for Superfund Cooperative Agreements or Superfund Technical Assistance Grants (TAGs)**)

EPA may pay you by the advance payment method. For those agreements awarded in the amount of \$5,000 and less, you may receive up to 80% of the Federal funds awarded in the first payment request, the remaining 20% will be withheld until submittal of the final report/product and the final Financial Status Report (FSR). For those agreements above \$5,000, you may receive quarterly advances for work during a particular quarter, up to a maximum of 80% of the Federal funds awarded; again, the remaining 20% will be withheld until submission of the final report/product and the final FSR. If the withholding of the 20% will present a hardship, you may request EPA to make an exception.

#### Working Capital Advance (**Not available for Superfund Technical Assistance Grants (TAGs)**)

If EPA determines that you lack sufficient working capital, cash may be provided by a working capital advance. The advance covers the first funding period (30 days); thereafter, funds are disbursed on a reimbursement basis.

#### Reimbursement

If you do not receive advance payments, EPA will pay you by Reimbursement. When you are paid by this method, you will be reimbursed for the federal share of costs which you have disbursed. **(Note: new recipients of Superfund Technical Assistance Grants (TAGs) may receive a one-time \$5,000 advance, for certain eligible activities, as described in 40 CFR §35.4090 and §35.4095)**

### B. PAYMENT MECHANISMS

#### Automated Standard Application for Payments (ASAP)

ASAP is an automated drawdown system sponsored by the U.S. Department of the Treasury. Recipients must enroll with Treasury. If you would like additional information concerning ASAP, please contact the EPA, Region 2, Financial Management Office, at (212) 637-3456, or visit [www.fms.treas.gov/asap](http://www.fms.treas.gov/asap).

Under this payment mechanism, the recipient initiates, via ASAP, an electronic or voice-activated telephone payment request which is approved or rejected based on the amount of available funds authorized by EPA in the recipient's account. Approved funds are credited to the recipient organization at the financial institution identified on the recipient's ASAP enrollment application.

#### Electronic Funds Transfer (EFT)

Under this payment mechanism, the recipient submits Standard Form 270 (SF-270), *Request for Advance or*

**INTERGOVERNMENTAL REVIEW CLEARINGHOUSE CONTACTS  
REGION 2**

**EXECUTIVE ORDER 12372 - The Environmental Protection Agency's (EPA's) regulation, 40 CFR Part 29, sets forth the Agency's obligations and procedures for consulting with and responding to views expressed by State and local elected officials on proposed EPA direct development activities, and applications submitted for EPA financial assistance. The Intergovernmental review process varies by state. For projects within New York and New Jersey, please refer to pages 28 to 41. If your project is within Puerto Rico or the Virgin Islands, please send a copy to the appropriate state clearinghouse below:**

**VIRGIN ISLANDS**

**Helary Baker, Acting Director  
Federal Programs  
Office of Management and Budget  
41 Norregade Emancipation Garden Sta.  
2nd Floor  
St. Thomas, Virgin Islands 00802  
Tel. (340) 774-0750  
Fax. (340) 776-0069**

**PUERTO RICO**

**Norma Burgos/Jose E. Caro  
Chairwoman/Director  
P.R. Planning Board  
Federal Proposals Review Board  
Minillas Government Center  
P.O. Box 41119  
San Juan, Puerto Rico 00940-1119  
Tel. (787) 724-4444; (787) 723-6190  
Fax. (787) 724-3270; (787) 724-3103**

**INTERGOVERNMENTAL REVIEW INSTRUCTIONS  
FOR NEW YORK and NEW JERSEY APPLICANTS**

**Due to the elimination of the State Clearinghouse function in the States of New York and New Jersey, it is now necessary for each applicant for EPA Region 2 funding that impacts New York or New Jersey to submit their application to the relevant State, County, and Areawide reviewing agencies.**

**A list of these agencies, along with their addresses, is enclosed. At a minimum, your application should be submitted to the listed agency in your county and other counties impacted. Projects that impact New Jersey must also be submitted to the New Jersey Department of Environmental Protection. Please note that the New York State Department of Environmental Conservation has waived its right to review. Please refer to the list of counties participating in the review process.**

**You should send the reviewing agencies a letter transmitting your application review package. Also include the first page of the application (SF-424), a project summary describing the activities proposed to be funded, and a signed “Certification of Distribution of Application Review Package” form (enclosed).**

**A signed original of the latter form also needs to be included with the application review package you send to EPA. Some of the agencies may request additional information as well. Please be sure to give the agencies a deadline for comments (at least 30 days from the day they receive the application). Comments should be sent directly to EPA at the following address:**

**Roch Baamonde, Chief  
Grants and Contracts Management Branch  
U.S.E.P.A. Region 2  
290 Broadway, 27th Floor  
New York, New York 10007-1866**

**Please note that EPA cannot complete processing of the application until the intergovernmental review process has been completed. If you need additional information about this process, please call (212) 637-3402.**

**NEW JERSEY STATE REVIEW PROCESS  
CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE**

Pursuant to the Federal intergovernmental review requirements, the attached APPLICATION REVIEW PACKAGE is submitted for your review.

**Applicant/Agency Name:**

**Organizational Unit:**

**Address:**

**Contact Person:**

**Telephone Number:**

**CFDA Number:**

**Federal Program Name:**

**Project Name:**

**Federal Funding Agency Address:** U.S.E.P.A. - Region 2  
290 Broadway, 27th Floor  
New York, New York 10007-1866

**Federal Funds Requested:** \$\_\_\_\_\_

**REVIEWING AGENCIES**

The APPLICATION REVIEW PACKAGE has been sent to the Reviewing Agencies checked below:

**UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
REGION II, GRANTS AND CONTRACTS MANAGEMENT BRANCH**

**COUNTY REVIEWING AGENCIES:**

<b>ATLANTIC</b>	<b>ESSEX</b>	<b>MIDDLESEX</b>	<b>SALEM</b>
<b>BERGEN</b>	<b>GLOUCESTER</b>	<b>MONMOUTH</b>	<b>SOMERSET</b>
<b>CAMDEN</b>	<b>HUDSON</b>	<b>MORRIS</b>	<b>SUSSEX</b>
<b>CAPE MAY</b>	<b>HUNTERDON</b>	<b>OCEAN</b>	<b>UNION</b>
<b>CUMBERLAND</b>	<b>MERCER</b>	<b>PASSAIC</b>	<b>WARREN</b>
<b>BURLINGTON</b>	<b>ALL COUNTIES</b>		



**NO APPLICABLE COUNTY REVIEWING AGENCIES**  
**STATE REVIEWING AGENCIES:**

<b>AGRICULTURE</b>	<b>HEALTH</b>	<b>LABOR</b>
<b>CORRECTIONS</b>	<b>HUMAN SERVICES</b>	<b>TRANSPORTATION</b>
<b>EDUCATION</b>	<b>COMMERCE &amp; ECONOMIC VETERANS AFFAIRS</b>	<b>MILITARY &amp; DEVELOPMENT</b>
<b>LAW &amp; PUBLIC SAFTY</b>	<b>NO APPLICABLE STATE REVIEWING AGENCIES</b>	<b>ENVIRONMENTAL PROTECTION</b>

**AREAWIDE REVIEWING AGENCIES:**

**HACKENSACK MEADOWLANDS DEVELOPMENT COMMISSION**

**PINELANDS COMMISSION**

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The undersigned certifies that an APPLICATION REVIEW PACKAGE consisting of the items checked below has been sent to the required Reviewing Agencies for review.

- (1) ☐ **FEDERAL FORM 424 (Box 16A must be completed)**
- (2) ☐ **PROJECT SUMMARY DESCRIBING PROPOSED ACTIVITIES**
- (3) ☐ **CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE**
- (4) ☐ **SITE LOCATION MAP (For construction projects only)**
- (5) ☐ **PROJECT INFORMATION FORM (For construction projects only)**

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**THIS APPLICATION REVIEW PACKAGE WILL NOT BE PROCESSED UNLESS THIS FORM IS SIGNED AND DATED BELOW.**

---

**Signature**

**Date signed**

**Title**

---

**ADDRESSES**  
**NJ STATE REVIEWING AGENCIES**

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**AGRICULTURE**

**Donald Applegate**  
**SADC Programs**  
**NJ Department of Agriculture**  
**CN 330 (Room 203)**  
**Trenton, NJ 08625-0330**

**LAW AND PUBLIC SAFETY**

**Theresa M. Martinez**  
**Grants Coordinator**  
**Office of Attorney General**  
**NJ Department of Law and Public Safety**  
**CN 081**  
**Trenton, NJ 08625-0081**

**HEALTH**

**Jim Brownlee, Director**  
**Consumer and Environmental**  
**Health Services**  
**3635 Quakerbridge Road**  
**P.O. Box 369**  
**Trenton, New Jersey 08625-0369**

**HUMAN SERVICES**

**Patricia Holsneck**  
**NJ Department of Human Services**  
**222 S Warren Street**  
**CN 700**  
**Trenton, NJ 08625-0700**

**TRANSPORTATION**

**Richard Rogers**  
**Bureau of Transportation/Corridor Analysis**  
**NJ Department of Transportation**  
**1035 Parkway Avenue**  
**CN 609**  
**Trenton, NJ 08625-0609**

**ENVIRONMENTAL PROTECTION**

**Larry Schmidt, Director**  
**Office of Program Coordination**  
**NJ Dept. of Environmental Protection**  
**CN 418**  
**Trenton, NJ 08625-0418**

**COMMERCE & ECONOMIC DEV.**

**John P. Sedlak**  
**Office of Financial & Management Ass.**  
**NJ Department of Commerce & Economic**  
**Development (4th Floor)**  
**20 West State Street CN 823**  
**Trenton, NJ 08625-0823**

**MILITARY AND VETERANS AFFAIRS**

**Dean L. Arrighi**  
**Installations Division**  
**NJ Department of Military & Veterans Affairs**  
**Eggerts Crossing Road**  
**CN 340**  
**Trenton, NJ 08625-0340**

**CORRECTIONS**

**John J. Flood**  
**Division of Administration**  
**NJ Department of Corrections**  
**Whittlesey Road**  
**CN 863**  
**Trenton, NJ 08625-0863**

**LABOR**

**Jack Casuso**  
**NJ Department of Labor**  
**Office of the Commissioner**  
**13th Floor - Suite E**

**CN 110  
Trenton, NJ 08625-0110  
EDUCATION**

**Barbara Breeden  
Bureau of Budget, Accounting & Contracts  
NJ Department of Education  
225 W State Street  
CN 500  
Trenton, NJ 08625-0500**

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## **AREAWIDE REVIEWING AGENCIES**

### **HACKENSACK MEADOWLANDS DEVELOPMENT COMMISSION**

**Robert Ceberio  
Director of Planning & Management  
Hackensack Meadowlands  
Development Commission  
One DeKorte Park Plaza  
Lyndhurst, NJ 07071**

### **PINELANDS DEVELOPMENT COMMISSION**

**Susan Uibel  
Pinelands Commission  
Springfield Road  
Box 7  
New Lisbon, NJ 08604**

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## **COUNTY REVIEWING AGENCIES**

### **ATLANTIC**

**Lauren Moore, Jr.  
Atlantic County Planning Division  
1333 Atlantic Avenue  
Atlantic City, NJ 08401**

**Economic Development  
Burlington County  
County Office Building  
Mount Holly, NJ 08060**

### **MIDDLESEX**

### **BERGEN**

**Chester P. Mattson, Director  
Bergen Co. Dept. Of Planning  
& Economic Development  
Court Plaza South - Room 207W  
Hackensack, NJ 07601**

**George M. Ververides  
Director of County Planning  
Middlesex County Planning Board  
40 Livingston Avenue  
New Brunswick, NJ 08901**

### **MONMOUTH**

### **BURLINGTON COUNTY**

**George Fekete, Director**

**Robert Clark, Director  
Monmouth County Planning Board  
Hall of Records Annex**

**P.O. Box 1255  
Freehold, NJ 07728-1255**

**MORRIS**

**Director  
Morris County Dept. of Human Services  
P.O. Box 900  
Morristown, NJ 07963-0900**

**CAMDEN**

**Brenda L. Hollway  
Camden County Office of Legislative Services  
Court House (11<sup>th</sup> Floor)  
520 Market Street  
Camden, NJ 08102-1375**

**CAPE MAY**

**Jim Smith  
Cape May Planning Dept  
4 Moore Road  
Cape May Court House, NJ 08210-1601**

**CUMBERLAND**

**Stephen L. Kehs, Director  
Cumberland County Planning Board  
800 E. Commerce Street  
Bridgeton, NJ 08302  
ESSEX**

**Janet Treamont, Supvg. Planner  
Essex County Division of Planning  
120 Fairview Avenue  
Cedar Grove, NJ 07009**

**GLOUCESTER**

**Richard Westergaard, Principal Planner  
Gloucester County Planning Dept.  
North Delsea Drive  
Clayton, NJ 08312**

**HUDSON**

**John Connors, Business Manager  
Hudson County  
Jersey City, NJ 07306**

**HUNTERDON**

**Angelo DiOrio, Director  
Hunterdon County Department  
of Human Services  
Administration Building  
East Main Street  
Flemington, NJ 08822**

**OCEAN**

**Alan W. Avery, Jr., Director  
Ocean County Planning Board  
P.O. Box 2191  
Toms River, NJ 08754-2191**

**PASSAIC**

**Elizabeth Newton  
Passaic County Planning Board  
401 Grand Street  
Paterson, NJ 07505**

**SALEM**

**Michael Reeves, Director  
Salem County Planning Board  
96-98 Market Street  
Salem, NJ 08079**

**SOMERSET**

**Denise Katula, Grants Coordinator  
Somerset County Administrator's Office  
P.O. Box 3000  
Somerville, NJ 08876-1262**

**SUSSEX**

**Fred F. Suljic, Administrator  
Sussex County Planning Department  
County Administration Bldg.-Plotts Rd.  
Newton, NJ 07860**

**UNION**

**Richard S. Muller  
Union Cnty. Office of Policy and Planning  
Union County Administration Building  
Elizabethtown Plaza  
Elizabeth, NJ 07207**

**MERCER**

**Leo Laaksonen, Director  
Mercer County Division of Planning  
Administration Building  
P.O. Box 8068  
Trenton, NJ 08650**

**WARREN**

**David K. Dech, Director  
Warren County Planning Department  
Suite 111  
165 County Road 519s  
Belvidere, NJ 07823-1949**

**NEW YORK STATE REVIEW PROCESS  
CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE**

Pursuant to the Federal intergovernmental review requirements, the attached APPLICATION REVIEW PACKAGE is submitted for your review.

**Applicant/Agency Name:**

**Organizational Unit:**

**Address:**

**Contact Person:**

**Telephone Number:**

**CFDA Number:**

**Federal Program Name:**

**Project Name:**

**Federal Funding Agency Address:** U.S.E.P.A. - Region 2  
290 Broadway, 27th Floor  
New York, New York 10007-1866

**Federal Funds Requested:** \$\_\_\_\_\_

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**REVIEWING AGENCIES**

The APPLICATION REVIEW PACKAGE has been sent to the Reviewing Agencies checked below:

**UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
REGION II, GRANTS AND CONTRACTS MANAGEMENT BRANCH**

**AREAWIDE REVIEWING AGENCIES:**

<b>GENESSE</b>	<b>LIVINGSTON</b>	<b>MONROE</b>
<b>ONTARIO</b>	<b>ORLEANS</b>	<b>SENECA</b>
<b>WAYNE</b>	<b>YATES</b>	<b>WYOMING</b>
<b>STEUBEN</b>	<b>CHEMUNG</b>	<b>SCHUYLER</b>

<b>ORANGE</b>	<b>ERIE</b>	
<b>NIAGARA</b>	<b>PUTNAM</b>	<b>HERKIMER</b>
<b>ONEIDA</b>	<b>ROCKLAND</b>	<b>FRANKLIN</b>
<b>ULSTER</b>	<b>WESTCHESTER</b>	<b>JEFFERSON</b>
<b>ONONDAGA</b>	<b>SCHOHARIE</b>	<b>OSWEGO</b>
<b>CLINTON</b>	<b>MADISON</b>	<b>CAYUGA</b>
<b>WASHINGTON</b>	<b>ESSEX</b>	<b>WARREN</b>
<b>ALLEGANY</b>	<b>CHAUTAUQUA</b>	<b>CATTARAUGUS</b>
<b>BROOME</b>	<b>CHENANGO</b>	<b>CORTLAND</b>
<b>DELAWARE</b>	<b>TIOGA</b>	<b>TOMPKINS</b>
<b>ALBANY</b>	<b>RENSSELAER</b>	<b>SCHENECTADY</b>
<b>SARATOGA</b>	<b>COLUMBIA</b>	<b>OTSEGO</b>
<b>HAMILTON</b>	<b>ALL COUNTIES</b>	



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**The undersigned certifies that an APPLICATION REVIEW PACKAGE consisting of the items checked below has been sent to the required Reviewing Agencies for review.**

- (1)\_\_\_FEDERAL FORM 424 (Box 16A must be completed)**
- (2)\_\_\_PROJECT SUMMARY DESCRIBING PROPOSED ACTIVITIES**
- (3)\_\_\_CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE**
- (4)\_\_\_SITE LOCATION MAP (For construction projects only)**
- (5)\_\_\_PROJECT INFORMATION FORM (For construction projects only)**

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**THIS APPLICATION REVIEW PACKAGE WILL NOT BE PROCESSED UNLESS THIS FORM IS SIGNED AND DATED BELOW.**

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**Date Signed**

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**Signature**

---

**Title**

## **ADDRESSES**

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### **AREAWIDE REVIEWING AGENCIES**

**GENESSE, LIVINGSTON, MONROE,  
ONTARIO, ORLEANS, SENECA,  
WAYNE, YATES, WYOMING**

**Rudeen Armstrong  
Genesee/FingerLakes  
Regional Planning Cncl.  
1427 Monroe Avenue  
Rochester, NY 14618  
Tel. (716)442-3770  
Fax (716)442-3786**

**CHEMUNG, SCHUYLER, STEUBEN**

**Marsha Weber  
Southern Tier Central  
Regional Planning Bd.  
145 Village Square  
Painted Post, NY 14870  
Tel. (607)962-5092  
Fax (607)962-3400**

**ERIE, NIAGARA**

**Spencer Schofield  
Erie County Dept. of  
Environment & Planning  
95 Franklin St.  
Buffalo, NY 14202  
Tel. (716)858-6926  
Fax (716)858-7240**

**HERKIMER, ONEIDA**

**Steven Olney  
Herkimer/Oneida Comp. Planning Board  
The Planning Department  
at Union Station  
321 Main Street  
Utica, NY 13501  
Tel. (315)798-5710  
Fax (315)798-5852**

**ORANGE**

**Peter Garrison  
Orange County Planning Dept.  
124 Main St.  
Goshen, NY 10924  
Tel. (914) 291-2318  
Fax (914) 291-2533**

**PUTNAM**

**John Y Lynch  
Putnam County Division of Planning and  
Development  
841 Fair St.  
Carmel, NY 10512  
Tel. (914) 878-3480  
Fax (914)878-6721**

**ROCKLAND**

**Dept. of Budget & Mgt.  
18 New Hempstead Rd.**

**New City, NY 10956  
Tel. (914) 638-5519  
Fax (914) 638-5686**

**Jefferson County Planning Dept.  
175 Arsenal St.  
Watertown, NY 13601  
Tel. (315)785-3144  
Fax (315)785-5092**

**BROOME, CHENANGO, CORTLAND,  
DELAWARE, OTSEGO, SCHOHARIE, TIOGA,  
TOMPKINS**

**Robert Augenstern  
Southern Tier East Planning Board  
375 State St.  
Binghamton, NY 13901-2385  
Tel. (607)724-1327  
Fax (607)724-1194**

**FRANKLIN**

**Stephen Dutton  
Franklin County Industrial  
Development Agency  
63 West Main St.  
Malone, NY 12953  
Tel. (518) 481-1702  
Fax (518)483-2900**

**ALBANY, RENSSELAER, SCHENECTADY,  
SARATOGA**

**Chungchin Chen  
Capitol Dist Regional Planning Comm.  
5 Computer Drive W.  
Second Floor  
Albany, NY 12205  
Tel. (518) 453-0820  
Fax (518) 393-6081**

**ULSTER**

**Dennis Doyle  
Ulster County Planning Board  
244 Fair St.  
Kingston, NY 12402  
Tel. (914)340-3339**

**OSWEGO, ONONDAGA, MADISON, CAYUGA**

**Gary G. Hayes  
Central New York Regional  
Planning Board  
126 N. Salina Street  
100 Clinton Square, Suite 200  
Syracuse, NY 13202  
Tel. (315)422-8276  
Fax (315)422-9051**

**WESTCHESTER**

**Jerry Mulligan  
Dep. Commissioner of Planning  
432 Michaelian Office Building  
White Plains, NY 10601  
Tel. (914)285-4404**

**CLINTON, ESSEX, HAMILTON, WARREN,  
WASHINGTON**

**JEFFERSON**

**Bruce Armstrong**

**Walter Young**

**Lake Champlain/Lake George  
Regional Planning Board  
Lake George Institute  
Lake George, NY 12845  
Tel. (518)668-5773**

**CHAUTAUQUA, CATTARAUGUS, ALLEGANY**

**Richard Zink  
Southern Tier West  
Regional Planning Board  
465 Broad Street  
Salamanca, NY 14779  
Tel. (716)945-5301**

**COLUMBIA**

**Susan Duictor  
Columbia County Planning Dept.  
401 State St.  
Hudson, NY 12534  
Tel. (518)828-3375  
Fax. (518)828-1717**

**The following counties do not participate in the intergovernmental review process:  
Dutchess, Fulton, Montgomery, St. Lawrence, Lewis, Nassau, Suffolk, Sullivan Counties and Greene. In  
addition, the City of New York has waived its right to participate in the intergovernmental review process.**





**Preaward Compliance Review Report for  
All Applicants Requesting Federal Financial**

FORM Approved  
OMB No. 2090-0014  
Expires 4-30-99

**Assistance**

**Note:** Read instructions on reverse side before completing form.

I. A. Applicant (Name, City, State)	B. Recipient (Name, City, State)	C. EPA Project No.
II. Brief description of proposed project, program or activity.		
III. Are any civil rights lawsuits or complaints pending against applicant and/or recipient? If yes, list those complaints and the disposition of each complaint. <span style="float: right;">Yes No</span>		
IV. Have any civil rights compliance reviews of the applicant and/or recipient been conducted by any Federal agency during the two years prior to this application for activities which would receive EPA assistance? If yes, list those compliance reviews and status of each review. <span style="float: right;">Yes No</span>		
V. Is any other Federal financial assistance being applied for or is any other Federal financial assistance being applied to any portion of this project, program or activity? If yes, list the other Federal Agency(s), describe the associated work and the dollar amount of assistance. <span style="float: right;">Yes No</span>		
VI. If entire community under the applicant's jurisdiction is not served under the existing facilities/services, or will not be served under the proposed plan, give reasons why.		
VII. Population Characteristics		Number of People
1. A. Population of Entire Service Area		
B. Minority Population of Entire Service Area		
2. A. Population Currently Being Served		
B. Minority Population Currently Being Served		
3. A. Population to be Served by Project, Program or Activity		
B. Minority Population to be Served by Project, Program or Activity		
4. A. Population to Remain Without Service		
B. Minority Population to Remain Without Service		
VIII. Will all new facilities or alterations to existing facilities financed by these funds be designed and constructed to be readily accessible to and usable by handicapped persons? If no, explain how a regulatory exception (40 CFR 7.70) applies. <span style="float: right;">Yes No</span>		
IX. Give the schedule for future projects, programs or activities (or of future plans), by which services will be provided to all beneficiaries within applicant's jurisdiction. If there is no schedule, explain why.		
X. I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.		
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
<b>For the U.S. Environmental Protection Agency</b>		
Approved      Disapproved	Authorized EPA Official	Date

EPA Form 4700-4 (Rev. 1/90) Previous editions are obsolete.

## **Instructions**

### **General**

Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes.

Title VI of the Civil Rights Acts of 1964 provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The Act goes on to explain that the title shall not be construed to authorize action with respect to any employment practice of any employer, employment agency, or labor organization (except where the primary objective of the Federal financial assistance is to provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act provides that no person in the United States shall on the ground of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of The Rehabilitation Act of 1973 provides that no otherwise qualified handicapped individual shall solely by reason of handicap be excluded from participation in, be denied the benefit of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of handicap is prohibited in all such programs or activities.

The Age Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age discrimination in employment is prohibited by the Age Discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person on the basis of sex shall be excluded from participation in, be denied the benefit of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: an education program or activity is not limited to only those conducted by a formal institution.

The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by the above statutes.

Submit this form with the original and required copies of applications, requests for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission.

If any item is not relevant to the project for which assistance is requested, write "NA" for "Not Applicable."

In the event applicant is uncertain about how to answer certain questions, EPA program officials should be contacted for clarification.

### **ITEMS**

IA. "Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance.

- IB. “Recipient” means any entity, other than applicant, which will actually receive EPA assistance.
- IC. Self-explanatory.
- II. Self-explanatory.
- III. “Civil rights lawsuits” means any lawsuit or complaint alleging discrimination on the basis of race, color, national origin, sex, age, or handicap pending against the applicant and/or entity which actually benefits from the grant. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.
- IV. “Civil rights compliance review” means any review assessing the applicant’s and/or recipient’s compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or handicap. If any part of the review covered the entity which will actually benefit from the grant, it should be listed.
- V. Self-explanatory.
- VI. The word “community” refers to the area under the applicant’s and/or recipient’s jurisdiction. The “community” might be a university or laboratory campus, or a community within a large city. If there is significant disparity between minority and nonminority populations to receive service, not otherwise satisfactorily explained, the Regional office may require a map which indicates the minority and nonminority population served by this project, program or activity.
- VII. This information is required so that reviewers may determine if a disparity in the proposed provision of services will exist in the event the application is approved for funding. Give population of recipient’s jurisdiction, broken out by categories as specified.
- In the event the applicant cannot provide the requested information because the funds will be distributed over a wide demographic area which is yet to be determined, an explanation may be provided on a separate sheet. For example, a State applying for a capitalization grant under the State Revolving Fund program may not know which cities and counties will apply for, and receive, SRF loans.
- VIII. Self-explanatory.
- IX. “Jurisdiction” means the geographical area over which applicant has the authority to provide service.
- X. Self-explanatory.

**U.S. ENVIRONMENTAL PROTECTION AGENCY (EPA)**  
**SMALL GRANTS GUIDANCE**

**INTRODUCTION**

The EPA is pleased to announce the *Implementation Order to Streamline Small Grants*, otherwise known as the *Small Grants Policy*. EPA’s philosophy guiding the Small Grants initiative incorporates a new set of principles designed to reinvent the grants process for small awards to promote efficiency and enhance customer satisfaction. The Small Grants



Policy advances Vice President Gore's re-invention efforts to reduce administrative burdens on the grant recipient and on EPA. This guidance is intended for use by EPA Assistance Recipients and outlines the purpose, goals and general procedures for Small Grants.

## **BACKGROUND**

Small grants account for about 50% of new project grant awards at EPA, but less than 5% of assistance dollars. As a result EPA recognized the need to streamline the Agency's processes for Small Grants. The policy was finalized and signed on September 1, 1998.

## **WHEN DOES THE POLICY BECOME EFFECTIVE?**

The Small Grants Policy becomes effective for new grants awarded on or after October 1, 1998.

## **SCOPE AND PURPOSE OF THE SMALL GRANTS POLICY**

The purpose of the Small Grants Policy is to simplify and improve administration of small grants without compromising accountability.

## **WHAT IS A SMALL GRANT?**

A small grant is defined as a grant or cooperative agreement with a dollar value not exceeding \$100,000 in federal funds; budget and project periods are of the same duration; and the projects are fully funded at the time of award.

## **DOES THE SMALL GRANTS POLICY COMPROMISE ACCOUNTABILITY?**

Does not change EPA's regulatory or statutory requirements.

Does not compromise EPA's fiduciary and stewardship responsibility.

Allows more time and resources to be focused on technical assistance to grantees, post-award monitoring and promoting partnerships.

Similar to all grants and cooperative agreements, small grants are subject to audit at any time.

## **WHAT ARE THE ADVANTAGES OF THE SMALL GRANTS POLICY?**

Recipients submit only the original and one copy of the application.

Narrative/Workplan does not have to exceed five pages.

Recipients submit budget detail only at the Object Class level.

Recipients retain indirect cost rate documentation (recipients without negotiated indirect cost rates merely need to retain documentation on file).

EPA fully funds project at the time of award.

Redundant administrative Terms and Conditions will be eliminated from the Assistance Agreement.

EPA's Assistance Agreement is reduced to approximately 4 pages.

Recipients with awards of \$5,000 or less may receive up to 80% of the award in advance.

Recipients subject to 40 CFR Part 30 can submit annual MBE/WBE Reports.

Recipients subject to 40 CFR Part 30 can incur pre-award costs up to 90 days without EPA approval.

Recipients submit only the original and no more than two copies of the Final Report.

## **WHAT RECIPIENTS ARE SUBJECT TO THE SMALL GRANTS POLICY?**

The Small Grants Policy applies to Institutions of Higher Learning, Hospitals and other Non-profit Organizations, State, Local and Tribal Governments.

## **ARE ANY ASSISTANCE PROGRAMS EXEMPT FROM THE SMALL GRANTS POLICY?**

Small Grants Policy excludes Performance Partnership Grants, Fellowship Grants, Loans, the Senior Environmental Employment (SEE) Program Cooperative Agreements, Environmental Program Grants to State, Interstate and Local Agencies, Construction Grants, Superfund Cooperative Agreements awarded under 40 CFR Part 35, Subpart O, and the State Revolving Fund Program Capitalization Grants.

## **HOW MUCH MONEY MAY BE REQUESTED, AND ARE MATCHING FUNDS REQUIRED?**

The ceiling for any one grant is \$100,000 in EPA funds. There is no minimum dollar award request established. Applicants are not required to provide matching funds unless law, statute, regulations, Executive Order or Official Agency Policy state otherwise.

## **ARE SMALL GRANT RECIPIENTS SUBJECT TO EPA'S REGULATORY OR STATUTORY REQUIREMENTS?**

The Small Grants Policy does not relieve recipients from complying with any statute or regulation.

## **WHAT ARE THE APPLICATION REQUIREMENTS FOR A SMALL GRANT?**

Applicants requesting \$100,000 or less in funding from EPA must provide the following:

1. Application for Federal Assistance (SF-424), the official form required for all federal grants that requests basic information about the grantee and the proposed project. The applicant should submit the original application and one copy (unless otherwise required by grant regulations), signed by a person duly authorized by the governing board of the applicant.
2. The Federal Standard Form (SF-424A), which provides information on your budget. ***For the purposes of the Small Grants program, complete only Item Number 6 of SF-424-A dividing your budget into categories such as personnel. Salaries/fringe benefits, travel, equipment, supplies contractual costs, other.***
3. Narrative/workplan of the proposal, in most cases, should not exceed five pages in length. A narrative/work plan is one of the most important aspects of your application for a Small Grant and will be used as the primary basis for selection. The workplan serves as the performance commitment and should describe as accurately and concisely as possible: 1) a summary of specific objectives, expected outcomes, outputs and deliverables; and 2) a discussion of the budget and how the budget relates to the objectives, outcomes and deliverables. The workplan may include a chronological schedule of accomplishments, progress, and milestones that are anticipated over the project's duration.
4. Resumes and biographical information should not exceed an additional two pages.
5. The necessary signed forms such as the Certification Regarding Debarment, Suspension and Other Responsibility Matters, EPA Form 4700-4 Preaward Compliance Review Report and Assurance of Non-Construction Programs Certification.
6. Applicants must identify the entire grant amount requested at the time of application submittal.

## **IS THE SMALL GRANTS ORDER AVAILABLE ELECTRONICALLY?**

The Small Grants Order is available for viewing on the Internet at <http://www.epa.gov/ogd/grants/regulations.htm>

## **WHO DO I CONTACT FOR ADDITIONAL INFORMATION**

For additional information on EPA's Implementation Order to Streamline Small Grants, contact U.S. Environmental Protection Agency, Grants and Contracts Management Branch, at (212) 637-3402.

## CHECKLIST OF APPLICATION ITEMS TO BE SUBMITTED

After you have completed your application, narrative description, and other required forms, please review this application checklist to ensure that all required documents have been completed for submittal.

\_\_\_\_\_ KEY CONTACTS LIST

\_\_\_\_\_ APPLICATION FOR FEDERAL ASSISTANCE (SF-424) WITH ORIGINAL SIGNATURES  
(Including SF-424A Budget Information and Assurances for Non-Construction Programs SF-424B)  
ORIGINAL AND ONE COPY

\_\_\_\_\_ ITEMIZED BUDGET (Detailed)

\_\_\_\_\_ QUALITY ASSURANCE REQUIREMENT FORM

\_\_\_\_\_ ASSURANCES - NON-CONSTRUCTION PROGRAMS

\_\_\_\_\_ EPA Form 4700-4 Preaward Compliance Review Report For All Applicants Requesting Federal Financial Assistance (Civil Rights Form) EEO contact Dana Williams (212) 637-3531

\_\_\_\_\_ NARRATIVE STATEMENT/WORKPLAN (Including statement on how this project supports your environmental program)

\_\_\_\_\_ EVIDENCE OF COMPLIANCE WITH INTERGOVERNMENTAL REVIEW

\_\_\_\_\_ DATA ON PAST GRANTS EXPERIENCE/FINANCIAL ADMINISTRATION (for applicants new to EPA REGION 2, e.g. Audit Reports, Narrative Description of Past Grants with the Federal Government and the Federal Agency Contact for the Single Audit Requirement)

\_\_\_\_\_ BIOGRAPHICAL SKETCH OF THE PROJECT MANAGER (for applicants other than State, local government and Indian Tribes)

CHECKLIST OF APPLICATION  
ITEMS TO BE SUBMITTED  
(CONTINUED)

\_\_\_\_\_ CERTIFICATION REGARDING LOBBYING/DISCLOSURE OF LOBBYING ACTIVITIES

\_\_\_\_\_ CERTIFICATION OF TAX STATUS IF YOU ARE A NON-PROFIT OR NOT-FOR-PROFIT ORGANIZATION (for 501(c)(3) and (4) organizations, please attach copy of your most current IRS determination letter).

\_\_\_\_\_ 5700-49 CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

\_\_\_\_\_ METHOD OF PAYMENT

\_\_\_\_\_ INDIRECT COSTS RATE AGREEMENT (OR COST ALLOCATION PLAN)

**\*NOTE: Please note that the information contained in this application may be made available to the public unless you identify specific portions that are confidential and may not be released. Please clearly identify specific confidential business information contained in this application.**

RETURN COMPLETED APPLICATION TO:

Roch Baamonde, CHIEF  
U.S. ENVIRONMENTAL PROTECTION AGENCY  
REGION 2  
OFFICE OF POLICY AND MANAGEMENT  
GRANTS AND CONTRACTS MANAGEMENT BRANCH  
290 BROADWAY, 27th FLOOR  
NEW YORK, NEW YORK 10007-1866

**GRANTS MANAGEMENT FACT SHEETS FOR AGENCY RECIPIENTS:  
AWARDING GRANTS TO ENTITIES WHICH SUE THE AGENCY**

**CONCERN**

A recent newspaper article focused on the Agency's grants to non-profits who lobby Congress and sue the Agency. Members of Congress also expressed concern that recipients may be using assistance funds to supplement litigation against the Federal Government.

**IMPLICATIONS**

- The use of assistance funds to supplement litigation costs against the Federal Government is unallowable for funding under Federal Cost Principles found in OMB Circulars A-122, A-87, and A-21.

**WHAT RECIPIENTS SHOULD KNOW:**

- In accordance with OMB Circulars No. A-122, A-21, and A-87, recipients are not allowed to use grant assistance funds to support suits against the Federal Government.
- Recipients cannot use grant assistance funds to pay the expenses of, or otherwise compensate, non-Federal parties intervening in regulatory or adjudicatory proceedings against the Federal Government.

**CONTACT FOR FURTHER INFORMATION**

EPA Grants Management Specialist or EPA Project Officer as specified on the award document in Sections 13 and 14 respectively.